



PTO/SB/21 (05-03)
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TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number 10/664,656

Filing Date September 19, 2003

First Named Inventor Thomas Vaughn

Art Unit 3679

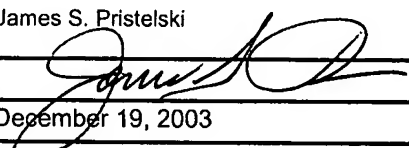
Examiner Name

Attorney Docket Number 1026-0038

ENCLOSURES (Check all that apply)

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| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Group |
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| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation | <input type="checkbox"/> Status Letter |
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| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks
Also enclosed are the following:
-Return Postcard | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

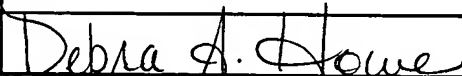
Firm or Individual name James S. Pristelski
Signature 
Date December 19, 2003

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Date December 19, 2003

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PATENT
Attorney Docket No. 1026-0038

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
Thomas Vaughn, et al.

Serial No.: 10/664,656

Filed: September 19, 2003

Examiner:

Art Unit: 3679

For: WAYSIDE LED SIGNAL FOR
RAILROAD AND TRANSIT
APPLICATIONS

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DATE: December 19, 2003

NAME: Debra A. Howe

SIGNATURE: Debra A. Wade

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Pursuant to 37 C.F.R. §1.97, as revised on February 4, 1992, 1135 OG 23-24, Applicants hereby call the Examiner's attention to documents listed on the attached form, which documents may be material to the examination of this application.

No inference should be drawn that any apparatus disclosed is equivalent to the subject invention. Also, the citation of the above-discussed documents is not to be construed as an assertion that more pertinent art could not possibly be in existence. Citation of any document herein is not to be

construed as an admission that any subject matter disclosed in the document is necessarily within the inventive field of endeavor, that any disclosure is necessarily prior in time to a particular date which may be relevant to the instant patent application, and/or that any disclosure is otherwise necessarily prior art with respect to the instant invention.

Applicants also respectfully reserve the right to later set forth how the instant invention is distinguished over the disclosure of any document or other art, including the disclosure of those documents discussed herein, that may be cited by the Examiner in rejecting a claim in the present patent application.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. Accordingly, it is believed that no fee under 37 CFR 1.97(c) is required. If it is determined that a fee is required for this Information Disclosure Statement, please charge our Deposit Account No. 50/1039.

Respectfully submitted,


James S. Pristelski

Registration No. 27,222

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Chicago, IL 60606
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	10/664,656
Filing Date	September 19, 2003
First Named Inventor	Thomas Vaughn
Art Unit	3679
Examiner Name	
Attorney Docket Number	1026-0038

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	1	US- 6,600,324 B2	07/29/03	St-Germain	
	2	US- 6,597,179 B2	07/22/03	St-Germain	
	3	US- 6,392,553 B1	05/21/02	Mollett et al.	
	4	US-			
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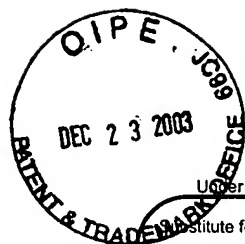
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/664,656
Filing Date	September 19, 2003
First Named Inventor	Thomas Vaughn
Art. Unit	3679
Examiner Name	
Attorney Docket Number	1026-0038

Sheet 2 of 2

OTHER PRIOR ART—NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	49 CFR Section 236.23, pages 492-492	
	2	Safetran Systems Instructions and Installation Manual, "Solid-State Corssing Controller IIIA (SSSCC IIIA) 91160, 91165, 91180, 91185," July 2003.	
	3	2004 American Railway Engineering and Maintenance of Way Association (AREMA), Manual of Communications and Signals, Manual Part 7.1.5 "Recommended Design Criteria and Functional/Operating Guidelines for an LED Light Unit Used in Wayside, pgs 1-5	
	4	2004 American Railway Engineering and Maintenance of Way Association (AREMA), Manual of Communications and Signals, Manual Part 17.3.1 "Recommended Safety Assurance Program for Electronic/Software Based Products Used in Vital Signal pgs: 1-13	

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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